INF 389R: Introduction to Archival Enterprise I, Fall 2022  
Unique No.: 28650

**INSTRUCTOR**  
Professor: Ciaran B. Trace  
Email: cctrace@austin.utexas.edu  
Office: UTA 5.412  
Office Hours: Friday, 10 am to noon [Zoom] and by appointment [Zoom]

**COURSE MEETING TIMES**  
Thursday, 8:30 am to 12:30 pm (1.212)

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**COURSE DESCRIPTION**

An introduction to the principles and practice of appraisal, acquisition, preservation, reference service, and administration of institutional and collected archives and of archival repositories.

**COURSE OBJECTIVES**

By the end of the course, students will be able to:

- Recognize the essential character of the archival profession including the philosophy, principles, and ethics of the field
- Recognize and evaluate the history, theory, and practice of archival enterprise with regard to handling documentation (the record) from acquisition through use
- Distinguish American archival traditions alongside broader international contexts
- Identify and analyze classical, contemporary, and emerging models of practice (particularly as it relates to technology and the processing and management of born-digital records)
- Describe and incorporate ethical and legal considerations and culturally responsive approaches to archival work and the provision of archival services to various constituencies
- Weigh the relationship and the connections between archives and allied areas (such as records and information management, digital curation, digital humanities, digital libraries, knowledge management, and digital forensics)
- Demonstrate mastery of archival principles by arranging and describing personal papers or organizational records using appropriate standards (DACS etc.)
- Demonstrate basic competence in data structure standards: Encoded Archival Description (EAD)

PLEASE NOTE: Students enrolled in this class are expected to spend at least 50 hours outside of class time working at a local archival repository. This work will take place over the course of the term and will involve group processing of previously unarranged and undescribed material.
**CLASS RESOURCES**

**Required Textbooks**

**Use of Canvas in Class**

Canvas - a Web-based course management system with password-protected access – will be used to distribute course materials, communicate and collaborate, post announcements, and submit assignments. You can find technical support through the Canvas Resource Center.

**Use of Zoom**

If classes need to move online, sessions will be delivered in a synchronous remote/web-based format using the conferencing software Zoom. As necessary, students will be provided with (1) the information to access remote sessions in a reliable way and (2) a link to an invitation to the class Zoom meeting, placed under the Zoom page on Canvas and populated in the Canvas calendar. Please note that Zoom will also be the method for participating in advising sessions with the instructor this term.

Students will need to determine in advance how best to connect to a Zoom call - using a computer with audio and video (ideal), connecting a computer for video and a phone for audio, or connecting by phone using audio only (in the case of broken/unreliable internet connection). Further advice about using Zoom (and associated technology requirements) is available on Canvas.

Any class recordings are reserved only for students in this class for educational purposes and are protected under FERPA. The recordings should not be shared outside the class.
COURSE ASSIGNMENTS AND WEIGHTS

1. **Arrangement of the Samuel Goudsmit Papers** (10% - Due Week 4). Digital copies of the Samuel Goudsmit Papers are available through Canvas. Working in groups, you are to formulate an organization for the documents identifying the groupings into which you would place the material. Hand in an outline showing how you have: [A] grouped the materials and [B] ordered the units to five levels below the fonds (subgroups, series, subseries, files, items). In parentheses, indicate the inclusive dates and number of items for each unit of documentation. Below the file level, you should also include an item-level listing of each document. This outline should be submitted to Canvas in electronic format. For additional information about this assignment please see the course manual.

2. **EAD Finding Aid** (Due Week 10 – 5%). The purpose of this assignment is to learn to use an XML editor and the EAD Schema and to connect specific bits of information from the archival finding aid with the appropriate EAD elements and attributes. Detailed information about how to complete the EAD assignment can be found in the course manual.

3-7. **Processing a body of previously unarranged and undescribed material in an archival repository** (70%). In this assignment, you will work in groups of 2-4 persons to arrange and describe a collection of personal papers or organizational records using appropriate standards. Another purpose of the project is to give you an opportunity to work for, and to observe, the staff of a functioning archive. You should plan to spend approximately 50 hours outside of class to complete this assignment. Project assignments will be announced by week two. In completing this assignment, you will produce:

- (3) Appraisal Report and Processing Plan (20% – Due Week 7)
- (4) Finding Aid (Due Week 11)
- (5) Edited/Final Finding Aid (30% - Due Week 15)
- (6) EAD Finding Aid (10% - Due Week 15)
- (7) Participation (10%)

Please note that part of your participation in the practicum involves agreeing to uphold the ethical standards of conduct of the profession. With appropriate guidance, students are expected to exercise professional judgment in processing materials to ensure the authenticity, integrity, security, preservation, accessibility, and lasting cultural and historical value of diverse collections under their care while also respecting the privacy rights of donors and individuals or groups who are the subject of records.

I will do an on-site visit during week eight. For this meeting, which lasts about an hour and a half, each group is to bring a printed copy of their ARPP (including a written outline...
of the arrangement - to the file level). We will discuss the ARPP and the arrangement you have formulated. When your ARPP has been approved, you are to do the following: (1) sort the material into the arrangement upon which we have agreed, (2) put it in the appropriate housing, (3) as time permits, prepare folder labels, and (4) write a finding aid for the collection.

Because the finding aid is to be structured in the form prescribed by the repository in which you work, the configuration of the elements may vary from what we discuss in class. If the repository form does not give sufficient opportunity for you to convey all of the information that you think should be presented, or if it requires you to present your data in a way that you feel differs markedly from the generic format used in this class, attach a supplementary document explaining how you would have done the work had you been able to structure the document in the manner you thought appropriate. The goal is to demonstrate that you are well-grounded in the kinds of and distinctions between kinds of information essential to a good archival finding aid. These assignments are to be turned in via Canvas.

Evaluation: Giving appropriate credit for individual contributions to group projects is difficult since the instructor can have little knowledge of the day-to-day functioning of each group. To facilitate accurate grading of the project, I ask that at the end of the term each student submit (via Canvas) a confidential memo crediting each member of the group, including yourself, with a percentage of contribution to the whole. The percentages must total 100. In addition, you should comment upon the work of any group member whose outstanding performance should be recognized or whose failure to contribute appropriately to the work of the group has affected the product of the group on which all are graded. Finally, you should describe any challenges that arose in the process of working as a group (coordination, motivation, effort, etc.), and the strategies you utilized to address these issues. As appropriate, these observations will be considered in assigning the class participation grade.

Additional information about how to complete this assignment can be found in the course manual.

8. Class attendance (15%)
Regular attendance is critical for receiving a good grade in this course. Attendance will be taken during each class period. Absences will be excused in situations following university policy (illness, religious holy days, participation in university activities at the request of university authorities, and compelling absences beyond your control). Absences should be accompanied by timely notification (prior to class for non-emergencies) and proper documentation. If a class is missed the student should submit a 500 to 750-word review of the week’s readings in lieu of attendance. This document should be emailed to the instructor prior to the next week’s class.

PLEASE NOTE: Assignments should be submitted to Canvas by 8 am on the due date. The following schedule will be used as the basis for calculating grades:
**Grade Cutoff**

<table>
<thead>
<tr>
<th>Grade</th>
<th>Cutoff</th>
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<tbody>
<tr>
<td>A</td>
<td>95%</td>
</tr>
<tr>
<td>A-</td>
<td>89%</td>
</tr>
<tr>
<td>B+</td>
<td>84%</td>
</tr>
<tr>
<td>B</td>
<td>79%</td>
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</tbody>
</table>

**B-** | 74%  |
**C+** | 69%  |
**C**  | 64%  |
**C-** | 60%  |
**F**  | <60% |

**Late Work**: Please note that given the nature of the course it is generally not possible to grant extensions for assignments. If the assignment is not handed in on the due date and time you will lose half a letter grade (e.g., A becomes A-, A- becomes B+, and so on) for every 24 hours the assignment is late. Assignments will not be accepted more than 6 days past the due date.

**UNIVERSITY POLICIES**

**University of Texas Honor Code**
The core values of The University of Texas at Austin are learning, discovery, freedom, leadership, individual opportunity, and responsibility. Each member of the university is expected to uphold these values through integrity, honesty, trust, fairness, and respect toward peers and community.

**Policy on Academic Integrity**
A fundamental principle for any educational institution, academic integrity is highly valued and seriously regarded at The University of Texas at Austin. More specifically, you and other students are expected to maintain absolute integrity and a high standard of individual honor in scholastic work undertaken at the University. This is a basic expectation that is further reinforced by the University's Honor Code. At a minimum, you should complete any assignments, exams, and other scholastic endeavors with the utmost honesty, which requires you to:

- Acknowledge the contributions of other sources to your scholastic efforts;
- Complete your assignments independently unless expressly authorized to seek or obtain assistance in preparing them;
- Follow instructions for assignments and exams, and observe the standards of your academic discipline; and
- Avoid engaging in any form of academic dishonesty on behalf of yourself or another student.

For the official policies on academic integrity and scholastic dishonesty, please refer to Chapter 11 of the Institutional Rules on Student Services and Activities.

**Prohibition on the Sharing of Course Materials**
No materials used in this class, including, but not limited to, lecture hand-outs, videos, assessments (e.g., papers, projects, homework assignments), in-class materials, review
sheets, and additional problem sets, may be shared online or with anyone outside of the class without explicit, written permission of the instructor. The unauthorized sharing of materials promotes cheating. It is a violation of the University's Student Honor Code and an act of academic dishonesty. The University is aware of the sites used for sharing materials, and any materials found on such sites that are associated with a specific student, or any suspected unauthorized sharing of materials, will be reported to Student Conduct and Academic Integrity in the Office of the Dean of Students. These reports can result in sanctions, including failure of the course.

**Q Drop Policy**
If you want to drop a class after the 12th class day, you will need to execute a Q drop before the Q-drop deadline, which typically occurs near the middle of the term. Under Texas law, you are only allowed six Q drops while you are in college at any public Texas institution.

**Use of E-Mail for Official Correspondence to Students**
E-mail is recognized as an official mode of university correspondence; therefore, you are responsible for reading your e-mail for university and course-related information and announcements. You are responsible to keep the university informed about changes to your e-mail address. You should check your e-mail regularly and frequently—I recommend daily, but at minimum twice a week—to stay current with university-related communications, some of which may be time-critical. You can find UT Austin’s policies and instructions for updating your e-mail address at [https://it.utexas.edu/policies](https://it.utexas.edu/policies).

**Religious Holy Days**
The University of Texas at Austin is strengthened by its global and multicultural character and is committed to diversity and equal opportunity in employment and education. This commitment includes embracing religious diversity and cultivating a community of inclusion and respect. Please notify me of your pending absence at least fourteen days prior to the date of observance of a religious holy day. If you must miss a class, a work assignment, or a project to observe a religious holy day, I will give you an opportunity to complete the missed work within a reasonable time after the absence. Students who have questions or concerns about academic accommodations for religious observance or religious beliefs may contact the Office for Inclusion and Equity.

**Title IX Reporting**
Title IX is a federal law that protects against sex and gender-based discrimination, sexual harassment, sexual assault, sexual misconduct, dating/domestic violence and stalking at federally funded educational institutions. UT Austin is committed to fostering a learning and working environment free from discrimination in all its forms. When sexual misconduct occurs in our community, the university can:

- Intervene to prevent harmful behavior from continuing or escalating.
- Provide support and remedies to students and employees who have experienced
harm or have become involved in a Title IX investigation.

- Investigate and discipline violations of the university’s relevant policies.

Faculty members and certain staff members are considered 'Responsible Employees' or 'Mandatory Reporters,' which means that they are required to report violations of Title IX to the Title IX Coordinator. **I am a Responsible Employee and must report any Title IX related incidents** that are disclosed in writing, discussion, or one-on-one. Before talking with me, or with any faculty or staff member about a Title IX related incident, be sure to ask whether they are a responsible employee. If you want to speak with someone for support or remedies without making an official report to the university, email advocate@austin.utexas.edu. For more information about reporting options and resources, visit https://titleix.utexas.edu or contact the Title IX Office at titleix@austin.utexas.edu.

**Classroom Safety and COVID-19**

While I will post information related to the contemporary situation on campus, you are encouraged to stay up to date on the latest news as related to the student experience. See Protect Texas Together, https://protect.utexas.edu.

**Important Campus Safety Information**

If you have concerns about the safety or behavior of fellow students, TAs or Professors, call BCAL (the Behavior Concerns Advice Line) at (512) 232-5050. Your call can be anonymous. If something doesn’t feel right – it probably isn’t. Trust your instincts and share your concerns.

The following are recommendations regarding emergency evacuation from the Office of Campus Safety and Security, 512-471-5767, http://www.utexas.edu/safety/.

- Occupants of buildings on The University of Texas at Austin campus are required to evacuate buildings when a fire alarm is activated. Alarm activation or announcement requires exiting and assembling outside.
- Familiarize yourself with all exit doors of each classroom and building you may occupy. Remember that the nearest exit door may not be the one you used when entering the building.
- Students requiring assistance in evacuation shall inform their instructor in writing during the first week of class.
- In the event of an evacuation, follow the instruction of faculty or class instructors. Do not re-enter a building unless given instructions by the following: Austin Fire Department, The University of Texas at Austin Police Department, or Fire Prevention Services office.
- Link to information regarding emergency evacuation routes and emergency procedures can be found at: http://emergency.utexas.edu/.

**Land Acknowledgement**
We would like to acknowledge that we are meeting on Indigenous land. Moreover, we would like to acknowledge and pay our respects to the Carrizo & Comecrudo, Coahuiltecan, Caddo, Tonkawa, Comanche, Lipan Apache, Alabama-Coushatta, Kickapoo, Tigua Pueblo, and all the American Indian and Indigenous Peoples and communities who have been or have become a part of these lands and territories in Texas, here on Turtle Island.

UNIVERSITY RESOURCES FOR STUDENTS

Your success in this class is important to me. If there are aspects of this course that prevent you from learning or exclude you, please let me know as soon as possible. Together we will develop strategies to meet both your needs and the requirements of the course.

Personal or Family Emergencies
If you experience a personal or family emergency (death in the family, protracted sickness, serious mental health issues) you should contact Student Emergency Services in the Office of the Dean of Students. As advocates, SES supports students by providing the most comprehensive outreach, assistance, intervention, and referrals. They will also work with you to communicate with me and your other professors and let them know of your situation.

Accessibility
The university is committed to creating an accessible and inclusive learning environment consistent with university policy and federal and state law. Please let me know if you experience any barriers to learning so I can work with you to ensure you have equal opportunity to participate fully in this course. If you are a student with a disability, or think you may have a disability, and need accommodations please contact Services for Students with Disabilities (SSD). Please refer to SSD’s website for contact and more information: http://diversity.utexas.edu/disability/. If you are already registered with SSD, please deliver your Accommodation Letter to me as early as possible in the term so we can discuss your approved accommodations and needs in this course.

The University Writing Center
The UWC provides free programs to support and empower all UT graduate students. UWC consultants provide one-on-one feedback on any project at any stage of your writing process. For group accountability and instruction, check out UWC monthly writing groups, workshops, and retreats.

The Sanger Learning Center
If you are looking to improve your study skills, writing skills, or public speaking skills you should take advantage of the Sanger Learning Center’s classes and workshops, private learning specialist appointments, peer academic coaching, and tutoring.
Counseling and Mental Health Center
There are many helpful counseling and mental health resources available on campus and an important part of the college experience is learning how to ask for help. If you or anyone you know experiences any academic stress, difficult life events, or feelings like anxiety or depression, I strongly encourage you to seek support, including from the relevant university resources. If immediate mental health assistance is needed, call the Counseling and Mental Health Center (CMHC) at 512-471-3515 or you may also contact Bryce Moffett, LCSW (iSchool CARE counselor) at 512-232-2983. Outside CMHC business hours (8 a.m.-5 p.m., Monday-Friday), contact the CMHC 24/7 Crisis Line at 512-471-2255.

STUDENT RIGHTS AND RESPONSIBILITIES

- You have a right to a learning environment that supports mental and physical wellness.
- You have a right to respect.
- You have a right to be assessed and graded fairly.
- You have a right to freedom of opinion and expression.
- You have a right to privacy and confidentiality.
- You have a right to meaningful and equal participation.
- You have a right to learn in an environment that is welcoming to all people.

With these rights come responsibilities:
- You are responsible for taking care of yourself, managing your time, and communicating with the teaching team and with others if things start to feel out of control or overwhelming.
- You are responsible for acting in a way that is worthy of respect and always respectful of others.
- Your experience with this course is directly related to the quality of the energy that you bring to it, and your energy shapes the quality of your peers’ experiences.
- You are responsible for creating an inclusive environment and for speaking up when someone is excluded.
- You are responsible for holding yourself accountable to these standards, holding each other to these standards, and holding the teaching team accountable as well.

Personal Names and Pronouns
Professional courtesy and sensitivity are especially important with respect to individuals and topics dealing with differences of race, culture, religion, politics, sexual orientation, gender, gender variance, and nationalities. Class rosters are provided to the instructor with the student’s legal name unless they have added a “preferred name” with the Gender and Sexuality Center: http://diversity.utexas.edu/genderandsexuality/publications-and-resources/. I will gladly honor your request to address you by a name that is different from what appears on the official roster, and by the gender pronouns you use. Please advise
me of any changes early in the term so that I may make appropriate updates to my records. For instructions on how to add your pronouns to Canvas, visit https://utexas.instructure.com/courses/633028/pages/profile-pronouns

COURSE SCHEDULE

Week One (Thursday, August 25, 2022)
Introduction and Overview of Records, Archives, and the Archival Profession (introduction to the course; nature of the information professions; history of record traditions in the United States; nature of records professionals; importance of records to society; characteristics of records; evidential and informational value; records versus papers; nature of the archive, digital archive, and trusted digital repository; duties of the archivist; examples of bodies of records; models for records and recordkeeping)

Introduction to the Group Processing Project

- James M. O’Toole and Richard J. Cox, Understanding Archives & Manuscripts, Chapter 2: The History of Archives and the Archives Profession.

Week Two (Thursday, September 1, 2022)
Processing – Classification and Arrangement Part I (intellectual control; activity of processing; history of archival concepts including provenance, respect des fonds and original order; the importance of context and evidence; connections to the PROV Data Model; levels of control - record group, subgroup, series, subseries, file; Australian series system; arrangement examples)

Processing Project Groups are formed – discussion of next steps. Begin work on Group Processing Project – make sure to read the Processing Manual and appendices sections of the Manual!


Complete the online training module - Chris Croft, *Teamwork Foundations* [1h 25m].

**Week Three (Thursday, September 8, 2022)**

*Flipped Classroom: In Class Work on Arrangement* (arrangement lab and discussion of practicum processing assignment)

- Read the biography of Samuel Goudsmit (available through Canvas).

**Week Four (Thursday, September 15, 2022)**

*Processing – Classification and Arrangement Part 2* (includes discussion of Goudsmit arrangement and practicum ARPP document, processing conundrums, MPLP, capturing processing metrics, best practices for processing audio visual material)

**ASSIGNMENT DUE: Goudsmit Arrangement**

- Mary Lynn Ritzenthaler and Diane Vogt-O’Connor, Photographs: Archival Care and Management, “Photographs in Archival Collections” and “History of Photographic Processes.”
- *Guidelines for Efficient Archival Processing in the University of California Libraries* (2020), [https://escholarship.org/uc/item/4b81g01z](https://escholarship.org/uc/item/4b81g01z).

**Week Five (Thursday, September 22, 2022)**
**Processing – Description and Access** (intellectual control; history, definitions, and objectives of archival description; the relationship of arrangement and description; descriptive tools; federating archival description; linked open data; finding aids; components of finding aids; authority work; national and international descriptive standards – including RiC-CM and RiC-O)


**Week Six (Thursday, September 29, 2022)**

**Technology and the Transformation of Archival Description** (*DACS, archival workflow, database and markup technologies, ArchivesSpace, MARC*)

- *Putting Descriptive Standards to Work*, Module 17: Implementing DACS.
- Look at “MARC 21 Concise Format for Bibliographic Data” available from the LOC website at https://www.loc.gov/marc/bibliographic/

**Week Seven (Thursday, October 6, 2022)**

**Technology and the Transformation of Archival Description (EAD)** (*markup technologies, specifying elements in a document, EAD as a specific implementation of XML, DTDs and schemas, creating XML documents, delivering XML documents over the web, EAD in more detail (2002 and EAD3), XML authoring software, EAD tag library, EAC-CPF*)

**ASSIGNMENT DUE: ARPP**

- *Putting Descriptive Standards to Work*, Module 18: Using EAD3 and Module 19: Introducing EAC-CPF.
- EAD: Encoded Archival Description Official Site (EAD Official Site, Library of Congress) http://www.loc.gov/ead/
Week Eight (Thursday, October 13, 2022)

Writing for the Profession (ethically and culturally responsive approaches to description)

Practicum Meetings – there is no formal class meeting this week. Students are expected to meet in their groups to work on their practicum project, and with an eye to discussing how the finding aid will be written based on what has been learned from the accompanying slides and from this week’s readings.

- SAA’s Archives in Context Podcast: Episode 5: Archives for Black Lives in Philadelphia’s Anti-Racist Description Working Group.

Week Nine (Thursday, October 20, 2022)

Digital Archives, Technology, and Data (OAIS, archives and technology, computer history, archives and big data, Computational Archival Science, archives and small data, pre-processing and arranging born-digital material, systematic and non-systematic paths to acquiring material, digital forensics in the archive, examples of the work processes for born-digital materials, making digital curation a systematic institutional function, skill set for the digital archivist)

- Archival Arrangement and Description, Module 2: Processing Digital Records and Manuscripts.

Week Ten (Thursday, October 27, 2022)
Appraisal (definitions, why appraise, knowledge required for appraisal, appraisal and records management, historical overview of appraisal theories from Meisner to Cook to postmodernism, participatory appraisal, reappraisal and de-accessioning, appraisal of audio-visual material, appraisal of born-digital materials, intersection of digital tools and appraisal, environmental and ethical considerations in appraisal, culturally responsible approaches to appraisal)

ASSIGNMENT DUE: XML/EAD


Week Eleven (Thursday, November 3, 2022)

Acquisition, Accessioning and Collection Development (definitions; determining a collecting focus; collection development documents and policies; types of collecting; fieldwork; acquisition; collection development with born-digital records; surveying records; working with donors; accessioning, acquiring and accessioning born-digital material; transfer process; ingest tools; micro-services; BitCurator & Archivematica)

ASSIGNMENT DUE: Finding Aid

- OCLC Research, Total Cost of Stewardship: Responsible Collection Building in Archives and Special Collections (2021).
- Julianna Barrera-Gomez and Ricky Erway, Walk This Way: Detailed Steps for Transferring Born-Digital Content from Media You Can Read In-house (OCLC Research, 2013).

Week Twelve (Thursday, November 10, 2022)

Law and Ethics (policies, sources of law, transferring ownership and rights, providing access to materials, right to know, use and intellectual property, traditional knowledge licenses, codes of ethics, history of code of ethics, issues in enforcing codes of ethics, core values, ethics and access issues with digital records)

Flipped Classroom: In-Class Ethics Case Study
INF 389R: Introduction to Archival Enterprise I, Fall 2022


Week Thirteen (Thursday, November 17, 2022)
Access and Reference (definitions, access and user paradigm, types of access, barriers to access – knowing our history, users and use of archival materials, reference versus research, reference models, reference process, archival instruction, archival literacy, security, technology and reference, culturally responsible approaches to access, access to digitized and born-digital material, archives and Web 2.0, visualization tools, crowdsourcing, K-12)

  - Alternatively, you can listen to Dr. Farmer’s talk with ‘Archives in Context’ at https://archivesincontext.archivists.org/2020/08/11/season-4-episode-3-ashley-farmer/

Week Fourteen (Thursday, November 24, 2022)
Fall Break

Week Fifteen (Thursday, December 1, 2022)

| ASSIGNMENT DUE: Final Finding Aid |
| ASSIGNMENT DUE: EAD Finding Aid |
| ASSIGNMENT DUE: ‘My Contribution to the Processing Project’ Memo |
Groups should come to class prepared to make an informal, oral presentation (10 minutes) about the term processing project. Presentations may include:

- A brief overview of how your project aligned with the mission and vision of the repository
- A brief description of the collection and its importance
- An assessment of the potential audience for the collection
- A discussion of how your understanding of the collection changed
- A summary of the challenges you encountered in processing the collection and the strategies you devised during processing to solve these challenges and
- A brief description of how you would have processed this collection if you had been following MPLP guidelines.